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**FOCUS ON THE NEWLY EMERGING REGIONS OF AFAR, SOMALI AND OROMIYA
NATIONAL REGIONAL STATES**

Issuance Date: 07/01/2002

Closing Date: 07/31/2002

Closing Time: 17:00 Addis Ababa time

Subject: Request for Applications (RFA) Number 663-02-028 FOCUS ON THE
NEWLY EMERGING REGIONS OF AFAR, SOMALI AND OROMIYA NATIONAL REGIONAL STATES

Funds are not currently available for this activity. Any award subsequent to this RFA is contingent upon securing funds in FY 2002.

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement from an organization/consortium for funding a program for USAID/Ethiopia's Southern Tier Initiative Special Objective. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended, and the Federal Grants and Cooperative Agreements Act of 1977.

The purpose of this Request is to obtain applications for up to five grants/Cooperative Agreements ("Agreements") that contribute to achievement of USAID's Southern Tier Initiative (STI SO), Rural Household Production and Productivity Increased Strategic Objective (RHPP SO) and Mitigate the Effects of Disaster Strategic Objective (MED SO). Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$7,500,000 in total USAID funding allocated over a two-year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Instructions;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA #663-02-028 inscribed thereon, to:

Kenneth Barberi
USAID/Ethiopia
P.O.Box 1014
Riverside Building
Off Haile Gebresellase Road
Addis Ababa, Ethiopia

Please do not send application via pouch, as transmission times are unreliable. We recommend special courier services or hand carrying to the address above.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to those responsible Applicants whose application offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Instructions;
- (c) Section C - The Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Teame Gebretsadik, negotiator, USAID/Ethiopia, via facsimile at 251-1-531901 or 251-1-510043 or via internet email at ttsadik@usaid.gov. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442.

Sincerely,

Kenneth Barberi
Agreement Officer
USAID/Ethiopia

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SECTION A- GRANT APPLICATION INSTRUCTIONS**1. GENERAL**

A. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications, which are submitted late or are incomplete, run the risk of not being considered in the review process.

B. Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within two weeks of posting of the RFA to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

C. The applications must be prepared according to the format set forth below. Technical portions of applications should be submitted in an original and six copies and cost portion of applications in an original and two copies.

D. The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

E. Applicants must set forth full, accurate, and complete information as required by this RFA. The penalty for making false statements in applications to the U.S. Government is prescribed in 18 U.S.C. 1001.

2. GRANT AWARD

A. The Government may award up to five Agreements resulting from this RFA to the responsible applicants whose applications conforming to this RFA offer the greatest value (see also Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section B, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

B. The Government may award up to five agreements on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

C. A written award mailed or otherwise furnished to the successful applicant within the time for acceptance specified either in the application or in this RFA (whichever is later) shall result in a

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binding Grant without further action by either party. Before the application's specified expiration time, the government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counter offer by the Government.

D. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant.

3. PREPARATION OF APPLICATIONS

A. Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and six copies and cost portions of applications in an original and two copies. In addition to the hard copies, electronic copies of the technical and cost proposals shall be submitted on a 3-1/2" diskette. The technical proposal shall be a WORD97 document. The budget in the cost proposal shall be submitted as an EXCEL97 document. Budget notes on the cost proposals shall be included as a WORD97 document.

B. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

C. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

D. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(1) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction.

(2) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

E. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost

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consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

F. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgment by the time specified for receipt of Applications.

4. SUBMISSION OF APPLICATIONS

A. Applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified in the Cover Letter of this RFA, and showing the time specified for receipt, the RFA number, and the name and address of the applicant. Cost applications and technical applications shall be submitted in separate envelopes.

B. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

C. Applicants should retain for their records one copy of the application and all enclosures, which accompany their application.

D. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA. Applications which are submitted late or are incomplete run the risk of not being considered in the review process.

5. COST APPLICATION FORMAT

Subject to the availability of funding USAID/Ethiopia intends to award up to five Agreement in the total amount not to exceed US\$7,000,000.

Applicants are to provide a detailed breakdown of all costs, including indirect costs. Include budget notes on each budget line item detailing how the line item cost was derived. Moreover, Applications shall provide brief narrative description of any costs that may require explanation (i.e., why a specific cost may be higher than market costs, justification for fringe benefit rates, etc.). Negotiated Indirect Cost Rate Agreement (NICRA), if existent, must be included.

Narrative discussion must include assumptions used in determining any in-kind cost share contribution. Moreover, any agreements with a third party providing a contribution shall be detailed and the agreement with the party shall be included under a tabbed section "Sub-Agreements" of the cost proposal. Any third party cost contributions which do not have a formal written agreement at the time of the Applications shall include a narrative under the tabbed section "Sub-Agreements" which clearly describe what stage of the process the two parties are at and the date the Applicant expects the Agreement(s) to be formalized.

The budget shall be submitted on SF 424a (This form can be downloaded from:
http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/

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The cost application shall include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing.

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing the proposed Agreement;
- potential contributions of non-USAID or private commercial donors to the proposed Agreement;
- your procurement plan for commodities.

COST SHARING/MATCHING

The applicant shall propose a cost sharing contribution. Cost-sharing is an important element of the USAID-recipient relationship. It is USAID policy to encourage cost-sharing, and seek appropriate level of financial participation from recipients of grants and cooperative agreements when designing and negotiating these agreements. USAID policy is to have the maximum cost-sharing proposed. However, each applicant may propose whatever amount they can reasonably contribute to the activities.

RESPONSIBILITY DETERMINATION

Certain documents are required to be submitted by the successful applicant in order for the Regional Agreement Officer to make a determination of responsibility.

U.S. organizations with a continuing relationship with USAID or the U.S. Government shall submit copies of A-133 or similar audits which are maintained by the Bureau for Management, Office of Procurement, Procurement Support Division, Contract Audit Management Branch, (M/OP/PS/CAM); and the "Certificate of Compliance"("self certification") as detailed in the Supplementary Reference"Procurement Reform - Documentation Requirements for Non-Profit Recipients" (**See Supplementary Reference, [Procurement Reform -Documentation Requirements for Non-Profit Recipients](#)**).

Other organization(s) determined to have a reasonable chance for award may be requested to submit additional information deemed necessary for the Agreement Officer to make a determination of responsibility. The information must substantiate that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

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- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, governmental and non-governmental.
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance
- Has a satisfactory record of integrity and business ethics is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) will be required to submit the following information:

- Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified external public accountant or auditor satisfactory to USAID.
- Projected budget, cash flow and organization chart
- A copy of the organization's accounting manuals.

The applicant is required to complete and execute the certifications in Section D as well as any other certifications mandated by USAID regulations:

- Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions
- Certification Regarding Drug-Free Work Place Requirements
- Restrictions on Lobbying (certification and disclosure forms)

6. TECHNICAL APPLICATION FORMAT

Proposals should not be more than 25 pages, plus appropriate annexes. Proposals should include the following sections: (a) a brief analysis of the problem explaining the linkages with U.S. Mission and USAID Objectives, justification of approach, and strategy for site and beneficiary selection (b) goal, (c) objectives and activities to achieve the objectives, (d) indicators, (e) implementation and monitoring plans, (f) outline of expected results,

An annex, not to exceed five pages, providing a brief organizational background information and proposed key personnel assigned to program implementation is required.

Applicants may wish to launch joint proposals or other group arrangements to decrease USAID management burden of the Agreement. In order to maximize the likelihood of program sustainability, USAID encourages Applicants to incorporate significant participation of Ethiopian NGOs (E-NGOs) and/or Ethiopian civil society organizations (E-CSOs) in their plan to achieve the Agreement objectives.

Technical applications must include the following seven (7) sections in a document of no more than 25 pages in addition to the standard form SF424 which is available at:

http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/

1. **Executive Summary:** An Executive Summary that highlights the most salient features of the approach should precede the substantive text.

2. **Organizational Capability:** Applicants must: (a) state the nationality of organization; (b) provide an organization chart with title, functions, and responsibilities of personnel; and (c) describe the qualifications of prime organization and other implementing partners. This section should provide evidence that the applicant has the capacity to successfully carry out the activity. If sub-contractors or sub-grantees are contemplated, then all of the following information should be provided for each of the partners:
 - Demonstrated past performance in developing, implementing, managing and evaluating development activities.
 - Experience in promoting and coordinating community participation and collaborating closely with federal, regional and woreda government.
 - Demonstrated achievement of results in development programs in food insecure areas.
 - Experience in building partnerships and transferring technical and management skills to partners.
3. **Program Approach:** This section provides an overview of the program, including a brief summary of the relevant trends and challenges, technical interventions, and a strategic framework. In short, this section should be a stand-alone representation of the proposed activity, providing a complete overview of the program design and implementation. This summary should include:
 - A clear description of the proposed approaches to achieve program objectives
 - The analytical basis for proposed interventions, including an understanding of the cultural, demographic and socio-economic factors
 - A clear summary of what is to be accomplished in terms of:
 - the program outcomes to be achieved, with realistic milestones and targets defined
 - clear linkage to the various SOs, and the cross-cutting themes demonstrated;
 - the level within the region (household, community, kebele, woredas) at which these outcomes will be achieved;
 - the specific population segments to be targeted; and
 - how the outcomes, milestones and targets will be achieved, demonstrating innovative, cost-effective, technically and culturally sound approaches to achieving Agreement objectives.
4. **Performance Monitoring and Evaluation:** This section describes the overall approach to monitoring of the proposed activity's goal(s), results-based objective(s), and major activities. These should be the same as those discussed in the Program Description. A matrix or other graphic may be used to present information. This section should include information on the following:
 - The process which will be used to gather, analyze, and use data in program management.
 - Proposed indicators, milestones, and targets.
5. **Management Plan:** This section provides a concise overview of how the proposed activity will be managed. This section should include an organizational chart that clearly delineates: the key personnel responsible for managing this activity; and any key personnel under sub-agreements. In general, the Management Plan will address the following:

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- The plan for coordinating, managing and integrating the proposed approach with others contributing to the achievement of the program.
 - The system to be used for managing diverse activities expeditiously, soundly, and at reasonable costs.
 - The system to be used to facilitate community-level participatory planning and implementation.
 - The system to be used to incorporate and nurture participation of Ethiopian NGOs and/or civil society organizations in planning, implementing and managing the program.
- 6. Personnel Qualifications and Staffing:** The Applicants' proposals must define technical qualifications and experience, and position descriptions for key positions and personnel that they propose based on the following:
- an understanding of the issues/problems and the challenges and opportunities of activities therein; and
 - the Applicant's proposed activities, outcomes, milestones, and targets to be accomplished over the life-of-the-program.

Applicants should include a discussion of proposed headquarters supervision, support, and quality control efforts under the Agreement. Any direct level of effort attributable to headquarters activities is expected to be focused primarily on that required for sourcing information and technical expertise to support the field team.

The Chief of Party/Country Representative is expected to be authorized to represent the Applicant in all matters pertaining to the execution of the Program with the possible exception of Agreement amendments, for which authority shall be delegated at the discretion of the Applicant. The Chief of Party/Country Representative shall receive technical direction only from the USAID Cognizant Technical Officer (CTO) or his/her designee.

7. Past Performance (maximum 5 pages)

The Applicant is required to submit information on previously performed or on-going Contracts, Grants or Cooperative Agreements that are the same or similar to this RFA. Similar, used here, is in relation to the size, scope, geographic coverage, ethnic complexity or subject matter of the agreement. The same information is required for all identified sub-awardees as relates to their proposed role. Past performance is an indicator of the applicant's ability to perform the contract successfully.

The information should be limited to a list of all such contracts over the past 3 years in accordance with the following table.

Instrument No.	Name of Organization	Contact (name, phone #, fax and e-mail address)	Amount	Period of Performance	Place of Performance

SECTION B - SELECTION CRITERIA**EVALUATION CRITERIA FOR AWARD FOR THE FOCUS APPLICATIONS****1. Application Format**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

To facilitate the review of applications, Applicants should organize the narrative sections of their applications in the same order as the selection criteria.

2. Evaluation Procedures

The technical portion of Applications will be evaluated by a Technical Evaluation Committee of USAID Ethiopia in accordance with the Technical Evaluation Criteria (100 points) set forth in Section 4 below. Thereafter, the cost management portion of the application of the Applicant(s) achieving the highest technical score(s) will be reviewed and costs will be evaluated for general reasonableness, allowability, and allocability. Cost has not been assigned a weight but will be evaluated for general reasonableness, allocability, allowability and cost effectiveness or best value. Cost sharing will be evaluated on the level of financial participation proposed and the added value it represents to the program.

Quick start-up and strong evidence supporting program completion within twenty-four months may receive up to five points of additional credit.

Favorable consideration will be given to those applications proposing highest matching contributions.

To the extent that they are necessary, *negotiations will then be conducted with the Applicant(s) whose application(s) have a reasonable chance of being selected for award(s), and submission of revised application(s) may be requested.* An award will be made to the responsible and responsive Applicant whose application offer the greatest value, based on technical and other factors set forth in section 4 below.

3. Technical Evaluation Criteria

Applications must demonstrate technically, culturally, and economically sound, appropriate, cost effective and feasible approaches to achieve the objective of the Agreement..

Applicants for the intended program will be evaluated according to the following criteria:

EVALUATION CRITERIA	SCORE
A. Program Approach and Implementation Plan (30%)	
<ul style="list-style-type: none"> • Extent to which proposed approach is creative, relevant, consistent with and supportive of the study/analyses aims outlined in the Scope of Work; reflects an excellent understanding of the key elements of the program, including capacity building for sustainability or service delivery for quick impact. 15 % • Extent to which proposed approach mitigates resource-based disputes in target areas and promotes peace building and dispute resolution, based on lessons learned in Ethiopia and East Africa. 10 % • Extent to which proposed approach has positive impacts on the socio-economic status of women, any differential impacts on men and women, and methods for measuring these impacts. 5% 	
B. Program Management (30%) <ul style="list-style-type: none"> • Proposed study/analysis plan, including plans for effective in-country presence and effective collaboration among partners including partnership with local NGOs. (10%) • Extent and nature of Chief of Party's relevant professional experience in managing programs designed for East African pastoralist and agro-pastoralist populations and other programs of similar nature and complexity, as well as building and effectively supervising a diverse team of technical persons, and working with government and NGO partners. (10%) • Extent and nature of technical experience of other proposed team members, both international and local and their complementary skills, technically and programmatically in applying participatory methods and ensuring stakeholder involvement. (10%) 	
C. Monitoring and Evaluation Plan (15 %) <ul style="list-style-type: none"> • Clear and specific description of the outcomes and results anticipated defined by quantifiable and qualitative statements and the implications thereof based on lessons learned in Ethiopia and the region (10%) • Overall quality of evaluation plan. (5%) 	
D. Institutional Capacity and Past Performance (25%)	
<ul style="list-style-type: none"> • Extent of relevant institutional experience in working with local or community-based dispute prevention and mitigation. (10%) • Demonstrated organizational responsiveness, quality of technical persons, workmanship standards, and ability to complete assignments on schedule. (10%) • Access to and ability to mobilize appropriate technical expertise in a timely manner. (5%) 	
<i>Total Score (100 points)</i>	

SECTION C - PROGRAM DESCRIPTION**USAID/ETHIOPIA PROGRAM STATEMENT
FOCUS ON THE NEWLY EMERGING REGIONS OF AFAR, SOMALI AND OROMIYA
NATIONAL REGIONAL STATES****1. INTRODUCTION**

The United States Government (USG) foreign policy objective in Ethiopia is to advance and maintain regional stability through support for economic growth and democratic decentralization.

Ethiopia shares its borders with Somalia, Kenya, Djibouti, Eritrea and Sudan. Its geo-strategic position in the Horn of Africa, therefore, means that Ethiopia has a critical role to play in the promotion of regional peace and stability. While these borders are sovereign, population movements of pastoral groups across borders are frequent, resulting in a number of trans-boundary disputes mostly concerning pastureland and water. This demonstrates that the challenges of maintaining peace and regional stability are inseparable from humanitarian and development goals. A first step in maintaining peace in the region is, therefore, the need to address increasing competition over scarce resources.

2. DISCUSSION

The year 2002 presents a new array of challenges for the Government Federal Democratic Republic of Ethiopia (GFDRE) and its international partners to consider the linkages between regional stability and development. The USG has requested supplemental funding for poverty alleviation and food security as a first step to mitigate competition over resources in the newly emerging regions¹ of Ethiopia and between sovereign states of the Horn.

USAID/Ethiopia will utilize this funding for innovative activities targeted in the more peripheral border areas of the country. These activities will increase the availability of natural resources, reduce resource competition among groups, and, through support for democratic decentralization, increase the efficient delivery of basic social services (e.g., education, health, and water). The program will support pastoral and agro-pastoral groups, as well as some farming communities, to strengthen and diversify livelihoods.

3. PROGRAM INTEGRATION

The proposed activities will play an integrated role in the U.S. Mission's overall goal of reducing chronic food insecurity. Of particular emphasis is program integration with the Mission's Strategic and Special Objectives:

¹ The GFDRE and donors are presently referring to Afar, Somali, Gambella and Benishangul-Gumuz as newly emerging regions in reflection of the Government's new drive and commitment to democratic decentralization and capacity building.

Section D

Certifications

- **Rural Household Production and Productivity Increased Strategic Objective (RHPP SO)** supports food security, trade, livestock marketing and marketing factors, agricultural production and increased income.
- **Mitigate the Effects of Disaster Strategic Objective (MED SO)** supports disaster preparedness and response, improves conditions for peace/stability in selected dispute affected areas, and improves the capacity of the most vulnerable populations to make the transition to development.
- **Southern Tier Initiative Special Objective (STI SpO)** encompasses the development portfolio of improving livelihoods, health, education, and dispute mitigation, specifically targeted to pastoral areas of south-eastern Ethiopia.

All programs will address three Mission cross-cutting themes: nutrition, human and institutional capacity development, and HIV/AIDS prevention. Strategies to achieve the objectives will also incorporate explicit attention to gender concerns. Background on Ethiopia and the USAID/Ethiopia program are located on the Mission's web site at: www.usaid.gov.

4. TARGET AREAS

Target areas include the Afar and Somali Regions and Borena Zone of Oromiya Region.

5. TIMING

The procurement and implementation arrangements must support prompt obligation, and the completion of proposed activities within 18-24 months, including start-up.

6. REQUEST FOR APPLICATIONS

USAID/Ethiopia seeks implementing partners to provide a holistic approach that will address the underlying causes of resource competition, poverty and food insecurity in the newly emerging regions of Afar and Somali and the Borena Zone of Oromiya Region.

Activities will cover the fields specified under the U.S. FY2002 Foreign Operations Emergency Supplemental Funding Justifications for Ethiopia. These are: (a) improve and increase access to trade and agricultural marketing; (b) support inter-ethnic tolerance, pluralism; and (c) address resource competition "flash points". All program activities must be aligned with those articulated under the GFDRE's Federal Food Security Strategy (March 2002) and within the framework of the GFDRE's Poverty Reduction Strategy Paper (PRSP) that will lay the foundation for new regional development programs.

Priority areas of intervention are cited as:

- Reducing poverty and food insecurity in pastoral areas through environmental protection activities and diversification of existing forage legumes, grasses, etc. to increase grazing land availability and sustainability in support of pastoral livelihoods.
- Strengthening the livestock sector specifically through providing support to livestock market development and appropriate infrastructure (e.g., abattoirs, veterinary facilities, crushes etc).
- Increasing pastoralist income through support to the diversification of pastoralist livelihoods into agro-pastoralism, and employment, where appropriate, and where demand exists.

- Supporting appropriate decentralized basic social services delivery to pastoral communities (e.g., health, education, water, and infrastructure).
- Supporting broad-based social education to address issues such as HIV/AIDS prevention, nutrition, pluralism and tolerance. Close attention should be paid to activities that will reduce tension and competition over resources among groups.
- Strengthening an early warning system that addresses the special characteristics of pastoral livelihood systems, defining responses that build on the traditional coping mechanisms of the population.

To the extent practical, the RFA will encourage joint proposals (e.g. umbrella structure, partnerships or consortia) providing for a holistic approach and incorporating significant participation of Ethiopian NGOs (E-NGOs) and/or Ethiopian civil society organizations (E-CSOs) in their plan to achieve the program goal.

7. PROGRAM MANAGEMENT

7.1. PROGRAM SELECTION CRITERIA

Mandatory requirements:

FOCUS programs, based upon needs assessments in the areas of food security, natural resource management, disaster mitigation, health, education, and resource competition are mandatory.

Results of the proposed programs must be consistent with the existing U.S. Mission Objectives and USAID Integrated Strategic Program (ISP) Objectives but should be separate, distinct, from ongoing programs, and directly supportive of U.S. goals addressing regional stability and peace.

FOCUS programs shall have well-defined plans, indicators, baseline, monitoring and evaluation components, in-line with the Mission and SO focus, and existing strategies supporting the programs' sustainability. Justification is required for capital equipment procurement.

Environmental Impact Mitigation Plan:

All USAID activities must be in compliance with environmental impact monitoring and mitigation regulations (Reg. 16, etc.). The Initial Environmental Examination (IEE) calls for review for each Grant and sub-grant that may cause a physical impact on the environment. If any of the proposed activities fall in to this category, the implementers will be required to document their review of environmental implications and impact for each activity before USAID approval is granted.

8. AWARD INFORMATION

USAID/Ethiopia is looking to fund a number of proposals in priority target areas. Available funds for this program statement could range from US\$ 6 to \$7 million. USAID will review and rank proposals (3 to 5) based on the above criteria.

Awards are dependent on availability of funding.

9. COST SHARING/MATCHING

The applicants shall propose a cost sharing contribution. Cost-sharing is an important element of the USAID-recipient relationship. It is USAID policy to encourage cost-sharing, and seek appropriate level of financial participation from recipients of grants and cooperative agreements when designing and negotiating these agreements. USAID policy is to have the maximum cost-sharing proposed. However, each applicant may propose whatever amount they can reasonably contribute to the activities.

10. REPORTING AND OTHER REQUIREMENTS

The Recipient will be required to submit the documents and reports as described below:

Work Plan: A Work Plan will be submitted to the FOCUS core team within 30 days of the award covering the period from 18 to 24 months.

Quarterly and Annual Reports: The Recipients will submit quarterly reports after the signing of the agreement and an annual report at the end of the first 12 months. The quarterly reports will briefly describe the on-going activities, and any significant problems or successes. Annual Reports will be submitted to USAID covering the prior fiscal year results. The core team as part of the process of reviewing and approving the next Annual Work Plan will review the Annual Implementation Report.

Annual Implementation Reports will describe:

- (1) the extent to which objectives and targets contained in the Annual Work Plan have been achieved;
- (2) significant implementation problems encountered during the year; actions taken to resolve problems; and
- (3) observations/recommendations to improve implementation in the future.

Annual Implementation Reports are not to exceed 20 pages in length, and will contain an Executive Summary not to exceed 5 pages in length. Tables or graphic presentations will present objectives/indicators reflecting planned and actual targets. Additional supporting information may be included in Annexes to the report.

Financial Reports: The Recipient will submit estimated annual requirements as part of the Annual Work Plan. The Recipient will provide USAID/Ethiopia with quarterly expenditure reports 15 days after the expiration of the quarter, and an annual expenditure report within 30 days after the end of the first twelve months.

OTHER REQUIREMENTS:

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- Between the required implementation reporting dates, events may occur that have significant impact upon the Program. In such instances, the Recipients shall inform USAID as soon as the following types of conditions become known:

Problems, delays or adverse conditions that will materially affect the ability to attain the program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of work units by established time periods.

This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any USAID assistance needed to resolve the situation.

Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

- If any performance reviews conducted by the Recipients disclose the need for change in the budget estimates, the Recipients shall submit a request for budget revision.
- There shall be a final technical or performance report after completion of the program, for which the due date will be set forth in the grant.
- Review of proposed key personnel and changes of key personnel is required to ensure effective program implementation.
- Title to property shall vest with Ethiopian Government Institutions.

SECTION D**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT****CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]****EXECUTIVE ORDER ON TERRORIST FINANCING**

The contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the Provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontractors/subawards issued under this contract/agreement.

PART I - CERTIFICATIONS AND ASSURANCES**1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of

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the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

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1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuala (ADS 206)

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USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

6. CERTIFICATION OF RECIPIENT

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID,

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this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT**1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
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2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

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(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs.

Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Type/Description(Generic)	Quantity	Estimated Unit Cost
-----	-----	-----

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit

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costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity.

Any component from a non-Free World country makes the commodity ineligible for USAID financing.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Goods	Components	Probable Source
-----	-----	-----	-----	-----	-----

Goods	Components	Probable Origin
-----	-----	-----

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Probable Source	Probable Origin	Intended Use
-----	-----	-----	-----	-----	-----

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated

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costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Probable Supplier (Non-U.S. Only)	Nationality for non-U.S.	Rationale
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(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

Type/Description(Generic)	Quantity	Estimated	Unit Cost	Proposed Disposition
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an

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international organization, or [] a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

Attachment A**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY
AND
VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS****(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals.

Each participant may, but is not required to, check the Non procurement List.

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8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

SECTION D**Certifications****KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

SECTION D

Certifications

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the

SECTION D**Certifications**

recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.